

# RECORDATION FORM COVER SHEET PATENTS ONLY

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

Attorney Docket  
No.: PHX-0038

To the Assistant Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Renyuan Gao  
Donald S. Bitting  
Robert M. Mininni  
Robert A. Norwood  
Kazuya Takayama

2. Name and address of receiving party(ies):

Photon-X, Inc.  
291 Great Valley Parkway  
Malvern, PA 19355

3. Nature of conveyance:

☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other:

Execution Date: 7 November 2001

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: 31 October 2001

A. Patent Application No.(s):

B. Patent No.(s):

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence document should be mailed:

Joseph E. Maenner, Esquire  
Photon-X, Inc.  
291 Great Valley Parkway  
Malvern, PA 19355  
Telephone: (610) 695-6553  
Facsimile: (610) 240-9774  
E-Mail: jem@photon-x.net

6. Total number of applications and patents involved: [1]

7. Total fee (37 CFR 3.41) Cal. 1 x \$40.00 = \$ 40.00

☒ Enclosed  
☐ Authorized to be charged to deposit account

8. Deposit account number:

DO NOT USE THIS SPACE

9. Statement and signature

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Joseph E. Maenner  
Name of Person Signing

Signature

7 Nov 2001  
Date

Total number of pages including cover sheet, attachments and document: [4]

RECEIVED  
SEP 25 2003  
TECHNICAL CENTER 2800

JOINT

**ASSIGNMENT**

**WHEREAS**, we, **Ren yuan GAO**, a citizen of the People's Republic of China, with a post office address of 413 Strafford Avenue, Wayne, Pennsylvania 19087, **Donald S. BITTING**, a citizen of the United States of America with a post office address of 37 Rim View Lane, Reading, Pennsylvania 19607, **Robert M. MININNI**, a citizen of the United States of America with a post office address of 20 Farmersville Road, Califon, New Jersey 07830, **Robert A. NORWOOD**, a citizen of the United States of America with a post office address of 114 Waterwillow Road, West Chester, Pennsylvania 19380, and **Kazuya TAKAYAMA**, a citizen of Japan, with a post office address of 606 Parkview Drive, Phoenixville, Pennsylvania 19460, hereinafter generally referred to as "ASSIGNORS", have invented a certain new and useful

**Polymer Optical Waveguides on Polymer Substrates**

for which we have executed a United States patent application, Application No. \_\_\_\_\_, filed \_\_\_\_\_, 20\_\_\_\_, and

**ASSIGNORS** authorize **ASSIGNEE** or **ASSIGNEE's** representative to insert the Application Number and Filing date of this application if they are unknown at the time of execution of this Assignment.

**WHEREAS**, **Photon-X, Inc.**, a Pennsylvania corporation having a place of business at 291 Great Valley Parkway, Malvern, PA 19355, hereinafter generally referred to as "ASSIGNEE", is desirous of acquiring said invention and said patent application.

**NOW, THEREFORE**, in consideration of the sum of One Dollar and other good and valuable executed consideration, the full receipt and sufficiency of all of which are hereby acknowledged, and intending to be legally bound hereby, we, the undersigned **ASSIGNORS**, hereby agree to sell, assign, transfer and convey and by these presents do sell, assign, transfer and convey unto the above-named **ASSIGNEE**, the whole and entire right, title and interest

in and to said invention as described in the above patent application, for the territory of the United States and its possessions and territories and all foreign countries;

in and to the above patent application and any and all related United States and foreign patent applications disclosing said invention, including provisionals, non-

provisionals, divisions and continuations thereof, along with all rights of priority created by said patent application under any treaty relating thereto; and

in and to all United States and foreign patents which may be granted on any and all of said patent applications, including extensions, reissues and reexamination certificates thereof;

said invention, application(s) and patent(s) to be held and enjoyed by the above-named ASSIGNEE, for ASSIGNEE's own use and benefit, and for ASSIGNEE's legal representatives and assigns to the full end of the term or terms for which said patent(s) may be granted, as fully and entirely as the same would have been held by the undersigned ASSIGNORS had this assignment and sale not been made; and for the aforesaid consideration ASSIGNORS hereby covenant, agree and undertake to execute, whenever requested by the above-named ASSIGNEE, all patent applications, assignments, lawful oaths and any other papers which ASSIGNEE may deem necessary or desirable for securing to ASSIGNEE or for maintaining for ASSIGNEE all the patent(s) hereby assigned or agreed to be assigned; all without further compensation to the undersigned ASSIGNORS.

Nov 6, 2001  
(Date)

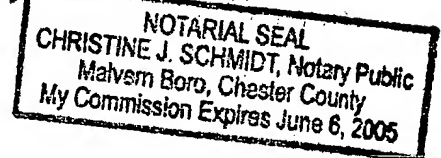
[Signature] (Seal)

COMMONWEALTH OF PENNSYLVANIA :  
: ss.  
COUNTY OF CHESTER :

Before me, a notary public in and for the State and County aforesaid, on this 6<sup>th</sup> day of November, 2001, personally appeared **RENYUAN GAO**, who being to me personally known, and who having first executed the foregoing instrument in my presence and have been by me first duly sworn, did acknowledge the foregoing instrument as his free deed and act, signed, sealed and delivered by him for the purpose therein stated and intending to be legally bound thereby and intending that said instrument be recorded.

Christine J. Schmidt  
Notary Public

My Commission Expires:



11/7/01

(Date)

Donald S. Bitting

(Seal)

COMMONWEALTH OF PENNSYLVANIA :

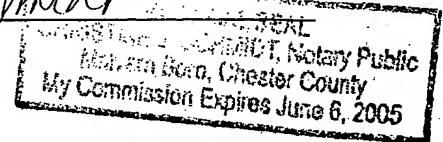
: ss.

COUNTY OF CHESTER :

Before me, a notary public in and for the State and County aforesaid, on this 7<sup>th</sup> day of November, 2001, personally appeared **DONALD S. BITTING**, who being to me personally known, and who having first executed the foregoing instrument in my presence and have been by me first duly sworn, did acknowledge the foregoing instrument as his free deed and act, signed, sealed and delivered by him for the purpose therein stated and intending to be legally bound thereby and intending that said instrument be recorded.

Christine J. Schmidt  
Notary Public

My Commission Expires



11-7-01

(Date)

Robert M. Mininni

(Seal)

COMMONWEALTH OF PENNSYLVANIA :

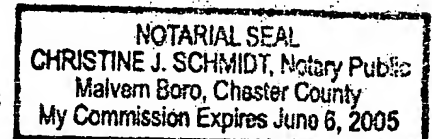
: ss.

COUNTY OF CHESTER :

Before me, a notary public in and for the State and County aforesaid, on this 7<sup>th</sup> day of November, 2001, personally appeared **ROBERT M. MININNI**, who being to me personally known, and who having first executed the foregoing instrument in my presence and have been by me first duly sworn, did acknowledge the foregoing instrument as his free deed and act, signed, sealed and delivered by him for the purpose therein stated and intending to be legally bound thereby and intending that said instrument be recorded.

Christine J. Schmidt  
Notary Public

My Commission Expires



11/7/01  
(Date)

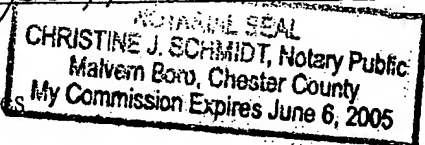
[Signature] (Seal)

COMMONWEALTH OF PENNSYLVANIA :  
: SS.  
COUNTY OF CHESTER :

Before me, a notary public in and for the State and County aforesaid, on this 7<sup>th</sup> day of November, 2001, personally appeared **ROBERT A. NORWOOD**, who being to me personally known, and who having first executed the foregoing instrument in my presence and have been by me first duly sworn, did acknowledge the foregoing instrument as his free deed and act, signed, sealed and delivered by him for the purpose therein stated and intending to be legally bound thereby and intending that said instrument be recorded.

Christine J. Schmidt  
Notary Public

My Commission Expires



11/07/01  
(Date)

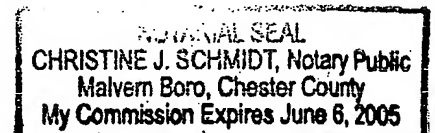
Kazuya Takayama (Seal)

COMMONWEALTH OF PENNSYLVANIA :  
: SS.  
COUNTY OF CHESTER :

Before me, a notary public in and for the State and County aforesaid, on this 7<sup>th</sup> day of November, 2001, personally appeared **KAZUYA TAKAYAMA**, who being to me personally known, and who having first executed the foregoing instrument in my presence and have been by me first duly sworn, did acknowledge the foregoing instrument as his free deed and act, signed, sealed and delivered by him for the purpose therein stated and intending to be legally bound thereby and intending that said instrument be recorded.

Christine J. Schmidt  
Notary Public

My Commission Expires





FEBRUARY 05, 2002

PTAS

Under Secretary of Commerce For Intellectual Property and  
Director of the United States Patent and Trademark Office  
Washington, DC 20231  
www.uspto.gov

PHOTON-X, INC.  
JOSEPH E. MAENNER, ESQUIRE  
291 GREAT VALLEY PARKWAY  
MALVERN, PA 19355

FEB 11 2002



\*101916561A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF  
THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS  
AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER  
REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE  
INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA  
PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD  
FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY  
CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723.  
PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE,  
ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY,  
SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 12/04/2001

REEL/FRAME: 012360/0642  
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:  
GAO, RENYUAN

DOC DATE: 10/10/2001

ASSIGNOR:  
MAENNER, JOSEPH E.

DOC DATE: 10/10/2001

ASSIGNEE:  
PHOTON-X, INC.  
291 GREAT VALLEY PARKWAY  
MALVERN, PENNSYLVANIA 19355

SERIAL NUMBER: 10004652  
PATENT NUMBER:

FILING DATE:  
ISSUE DATE:

MARY BENTON, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

12-17-2001

T

Attorney Docket  
No.: PHX-0044

To the Assistant Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Renyuan GAO  
Joseph E. MAENNER

2. Name and address of receiving party(ies):

Photon-X, Inc.  
291 Great Valley Parkway  
Malvern, PA 19355

12/04/01  
10/004652  
Jc760 U.S. PTO

3. Nature of conveyance:

☒ Assignment      ☐ Merger  
☐ Security Agreement      ☐ Change of Name  
☐ Other:

Execution Date: 10 October 2001

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: 8 October 2001

A. Patent Application No.(s):

B. Patent No.(s):

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence document should be mailed:

Joseph E. Maenner, Esquire  
Photon-X, Inc.  
291 Great Valley Parkway  
Malvern, PA 19355  
Telephone: (610) 695-6553  
Facsimile: (610) 240-9774  
E-Mail: jem@photon-x.net

6. Total number of applications and patents involved: [1]

7. Total fee (37 CFR 3.41) Cal. 1 x \$40.00 = \$ 40.00

☒ Enclosed  
☐ Authorized to be charged to deposit account

8. Deposit account number:

DO NOT USE THIS SPACE

9. Statement and signature

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Joseph E. Maenner  
Name of Person Signing

Signature

Date

Total number of pages including cover sheet, attachments and document: [4]

JOINT

**ASSIGNMENT**

**WHEREAS**, we, **Renyuan GAO**, a citizen of the People's Republic of China, with a post office address of 413 Strafford Avenue, Apt 3C, Strafford, PA 19087, **Joseph E. MAENNER**, a citizen of the United States of America, with a post office address of 509 First Montgomery BLVD., Thorndale, Pennsylvania 19372, hereinafter generally referred to as "ASSIGNORS", have invented a certain new and useful

**Method of Fabricating Polymer Optical Channel Waveguides with  
Multiple Types of Waveguide Core Materials**

for which we have executed a United States patent application, Application No. \_\_\_\_\_, filed \_\_\_\_\_, 20\_\_\_\_, and

**ASSIGNORS** authorize **ASSIGNEE** or **ASSIGNEE's** representative to insert the Application Number and Filing date of this application if they are unknown at the time of execution of this Assignment.

**WHEREAS**, **Photon-X, Inc.**, a Pennsylvania corporation having a place of business at 291 Great Valley Parkway, Malvern, PA 19355, hereinafter generally referred to as "ASSIGNEE", is desirous of acquiring said invention and said patent application.

**NOW, THEREFORE**, in consideration of the sum of One Dollar and other good and valuable executed consideration, the full receipt and sufficiency of all of which are hereby acknowledged, and intending to be legally bound hereby, we, the undersigned **ASSIGNORS**, hereby agree to sell, assign, transfer and convey and by these presents do sell, assign, transfer and convey unto the above-named **ASSIGNEE**, the whole and entire right, title and interest

in and to said invention as described in the above patent application, for the territory of the United States and its possessions and territories and all foreign countries;

in and to the above patent application and any and all related United States and foreign patent applications disclosing said invention, including provisionals, non-provisionals, divisions and continuations thereof, along with all rights of priority created by said patent application under any treaty relating thereto; and



in and to all United States and foreign patents which may be granted on any and all of said patent applications, including extensions, reissues and reexamination certificates thereof;

said invention, application(s) and patent(s) to be held and enjoyed by the above-named ASSIGNEE, for ASSIGNEE's own use and benefit, and for ASSIGNEE's legal representatives and assigns to the full end of the term or terms for which said patent(s) may be granted, as fully and entirely as the same would have been held by the undersigned ASSIGNORS had this assignment and sale not been made; and for the aforesaid consideration ASSIGNORS hereby covenant, agree and undertake to execute, whenever requested by the above-named ASSIGNEE, all patent applications, assignments, lawful oaths and any other papers which ASSIGNEE may deem necessary or desirable for securing to ASSIGNEE or for maintaining for ASSIGNEE all the patent(s) hereby assigned or agreed to be assigned; all without further compensation to the undersigned ASSIGNORS.

10/8/2001

(Date)

*[Signature]*

(Seal)

COMMONWEALTH OF PENNSYLVANIA :

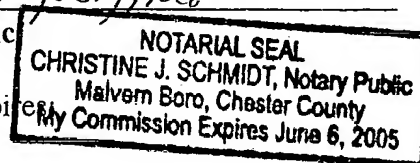
: ss.

COUNTY OF CHESTER :

Before me, a notary public in and for the State and County aforesaid, on this 10th day of October, 2001, personally appeared **Renyuan GAO**, who being to me personally known, and who having first executed the foregoing instrument in my presence and have been by me first duly sworn, did acknowledge the foregoing instrument as his free deed and act, signed, sealed and delivered by him for the purpose therein stated and intending to be legally bound thereby and intending that said instrument be recorded.

*Christine J. Schmidt*  
Notary Public

My Commission Expires



8 October  
(Date)

Joseph E. Maenner (Seal)

COMMONWEALTH OF PENNSYLVANIA

: ss.

COUNTY OF CHESTER

Before me, a notary public in and for the State and County aforesaid, on this 10<sup>th</sup> day of October, 2001, personally appeared **Joseph E. MAENNER**, who being to me personally known, and who having first executed the foregoing instrument in my presence and have been by me first duly sworn, did acknowledge the foregoing instrument as his free deed and act, signed, sealed and delivered by him for the purpose therein stated and intending to be legally bound thereby and intending that said instrument be recorded.

Christine J. Schmidt

Notary Public

My Commission Expires:

